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on August 20, 2010

PATENT  
Attorney Docket No.: 021756-068500US

TOWNSEND and TOWNSEND and CREW LLP

By: /Joni E. Peterson/  
Joni E. Peterson

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

Kevin Miller et al.

Patent No.: 7,734,505

Issued: June 8, 2010

Application No: 09/924,671

Filed: August 7, 2001

For: METHOD AND SYSTEM FOR  
IMPLEMENTING AUTOMATIC  
AUCTION EXTENSIONS AND  
ADJUSTABLE BID INCREMENTS IN  
AN ELECTRONIC EXCHANGE

Customer No.: 51206

Confirmation No.: 3662

Examiner: Jason M. Borlinghaus

Art Unit: 3693

REQUEST FOR CERTIFICATE OF  
CORRECTION UNDER 37 C.F.R. § 1.323

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. § 1.323, Patentees submit a Certificate of Correction. The desired correction is set forth on enclosed form PTO/SB/44. The specification has been amended to add the domestic priority data of the previously filed provisional application to which the above-identified patent claims benefit under 35 U.S.C. §§ 120 and 119(e). No new matter has been added.

All requirements for the 35 U.S.C. § 120 priority as set forth in 37 CFR 1.78(a)(1) and 35 U.S.C. § 119(e) priority as set forth in 37 CFR 1.78(a)(3) have been met in the application. Included with this paper are copies of the first page of the Updated Filing Receipt

for Application Number 60/266,968, filed 02/06/2001, the first page of the Filing Receipt for Application Number 09/924,671, filed 08/07/2001, and the Declaration and Power of Attorney for a Patent Application, as filed in Application Number 09/924,671, which includes the U.S. Priority Claim.

Entry of this Communication is respectfully requested as it merely cures a defect in the specification and does not affect the merits of the patent.

Applicants believe that no fee is required for submission of this request. However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,

/William J. Daley/  
William J. Daley  
Reg. No. 52,471

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**UNITED STATES PATENT AND TRADEMARK OFFICE  
CERTIFICATE OF CORRECTION**Page 1 of 1

PATENT NO. : 7,734,505 B2  
APPLICATION NO.: 09/924,671  
ISSUE DATE : June 8, 2010  
INVENTOR(S) : Kevin Miller et a.

It is certified that an error appears or errors appear in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

**Cover Page:****Related U.S. Application Data**

(60) Provisional application No. 60/266,968, filed on Jun. 8, 2003.

In the specification at column 1, after the title of the invention, line 6:

The present application claims benefit under 35 USC 119(e) of U.S. Provisional Application No. 60/266,968, filed February 6, 2001, entitled "Method and system for implementing automatic auction extensions and adjustable bid increments in an electronic exchange," the entire contents of which are incorporated herein by reference for all purposes.

MAILING ADDRESS OF SENDER (Please do not use customer number below):

TOWNSEND AND TOWNSEND AND CREW LLP  
Two Embarcadero Center, Eighth Floor  
San Francisco, CA 94111-3834



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLAIMS	IND CLAIMS
60/266,968 ✓	02/06/2001		200	ORCL-2000-070-01.PRO	5		

CONFIRMATION NO. 4990

## UPDATED FILING RECEIPT



\*OC000000006292864\*

WAGNER, MURABITO & HAO LLP  
Third Floor  
Two North Market Street  
San Jose, CA 95113

Date Mailed: 07/13/2001

Receipt is acknowledged of this provisional Patent Application. It will not be examined for patentability and will become abandoned not later than twelve months after its filing date. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Kevin Miller, Granite Bay, CA; ✓  
Kim Powell, Niwot, CO; ✓  
Dave Stephens, Merced, CA; ✓  
Kareem Benjamin, San Francisco, CA; ✓  
James Wang, Fremont, CA; ✓  
Benjamin BinQuan Gu, Foster City, CA; ✓

If Required, Foreign Filing License Granted 05/02/2001

Projected Publication Date: N/A

Non-Publication Request: No

Early Publication Request: No

## Title

Method and system for implementing automatic auction extensions and adjustable bid increments  
in an electronic exchange -

RECEIVED

JUL 17 2001

WMH

Data entry by : SOUNANNARATH, LINDA

Team : OIPE

Date: 07/13/2001

DOCKETED

Date: 7-17-01  
Initials: [Signature]



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/924,671 -	08/07/2001 -	2161	710	ORCL 2000-070-01	5	12	2

CONFIRMATION NO. 3662

## FILING RECEIPT

\*OC00000006554452\*

WAGNER, MURABITO & HAO LLP  
Third Floor  
Two North Market Street  
San Jose, CA 95113

Date Mailed: 09/14/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Kevin Miller, Granite Bay, CA; -  
Kim Powell, Niwot, CO; -  
Dave Stephens, Merced, CA; -  
James Wang, Fremont, CA; -  
Kareem Benjamin, San Francisco, CA; -  
Ben Gu, Foster City, CA; -

## Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/266,968 02/06/2001 \*  
(\*) Data inconsistent with PTO records.

## Foreign Applications

If Required, Foreign Filing License Granted 09/12/2001

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

Title

DOCKETED  
9-27-01

RECEIVED

SEP 21 2001

WMH

Attorney Docket No.:ORCL-2000-070-01

## Declaration and Power of Attorney for a Patent Application

### Declaration

As below named inventor, I hereby declare that my residence post office address, and citizenship are as stated below my name. Further, I hereby declare that I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

A METHOD AND SYSTEM FOR IMPLEMENTING AUTOMATIC AUCTION EXTENSIONS AND  
ADJUSTABLE BID INCREMENTS IN AN ELECTRONIC EXCHANGE

the specification of which:

  X   is attached hereto, or  
\_\_\_\_\_ was filed on \_\_\_\_\_ as application serial no. \_\_\_\_\_; and  
\_\_\_\_\_ was amended on \_\_\_\_\_

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above; and

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56(a).

### Foreign Priority Claim

I hereby claim foreign priority benefits under Title 35, United States Code Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Number	Country	Date Filed	Priority Claimed
_____	_____	_____	yes _____ no _____
_____	_____	_____	yes _____ no _____

### U.S. Priority Claim

I hereby claim the benefit under Title 35, United States Code, Section 120 and 199(e) of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Serial Number	Filing Date	Status (patented/pending/abandoned)
<u>60/266,968</u>	<u>02/05/01</u>	<u>pending</u>
_____	_____	_____

Attorney Docket No.:ORCL-2000-070-01

**Power of Attorney**

As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent Trademark Office connected therewith.

<u>James P. Hao</u>	Registration No.: <u>36,398</u>
<u>Anthony C. Murabito</u>	Registration No.: <u>35,295</u>
<u>John P. Wagner</u>	Registration No.: <u>35,398</u>
<u>Glenn D. Barnes</u>	Registration No.: <u>42,293</u>
<u>Thomas M. Catale</u>	Registration No.: <u>46,434</u>
<u>Jose S. Garcia</u>	Registration No.: <u>43,628</u>
<u>Kenneth N. Glass</u>	Registration No.: <u>42,587</u>
<u>Lin C. Hsu</u>	Registration No.: <u>46,315</u>
<u>Patrick W. Ma</u>	Registration No.: <u>44,215</u>
<u>Ronald M. Pomerence</u>	Registration No.: <u>43,009</u>
<u>John F. Ryan</u>	Registration No.: <u>47,050</u>
<u>William A. Zarbis</u>	Registration No.: <u>46,120</u>
<u>Matthew J. Blecher</u>	Registration No.: <u>46,558</u>
<u>Lawrence R. Goerke</u>	Registration No.: <u>45,927</u>

Send Correspondence to:

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San Jose, California 95113  
(408) 938-9060

**Signatures**

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full Name of Sole/First Inventor: Kevin MillerInventor's Signature [Signature] Date 5/28/01  
Residence Granite Bay, Ca. Citizenship US  
(City State)P.O. Address 4885 Brighton Court, Granite Bay, Ca. 95746Full Name of Second/Joint Inventor: Kim PowellInventor's Signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence Niwot, CO Citizenship US  
(City State)P.O. Address 8559 Waterford Way, Niwot, CO 80503

Attorney Docket No.:ORCL-2000-070-01

**Power of Attorney**

As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent Trademark Office connected therewith.

<u>James P. Hao</u>	Registration No.: <u>36,398</u>
<u>Anthony C. Murabito</u>	Registration No.: <u>35,295</u>
<u>John P. Wagner</u>	Registration No.: <u>35,398</u>
<u>Glenn D. Barnes</u>	Registration No.: <u>42,293</u>
<u>Thomas M. Catale</u>	Registration No.: <u>46,434</u>
<u>Jose S. Garcia</u>	Registration No.: <u>43,628</u>
<u>Kenneth N. Glass</u>	Registration No.: <u>42,587</u>
<u>Lin C. Hsu</u>	Registration No.: <u>46,315</u>
<u>Patrick W. Ma</u>	Registration No.: <u>44,215</u>
<u>Ronald M. Pomerence</u>	Registration No.: <u>43,009</u>
<u>John F. Ryan</u>	Registration No.: <u>47,050</u>
<u>William A. Zarbis</u>	Registration No.: <u>46,120</u>
<u>Matthew J. Blecher</u>	Registration No.: <u>46,558</u>
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**Signatures**

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full Name of Sole/First Inventor: Kevin Miller

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Full Name of Second/Joint Inventor: Kim Powell

Inventor's Signature Kim Powell Date 7/12/2001  
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Attorney Docket No.:ORCL-2000-070-01.

Full Name of Third/Joint Inventor: Dave Stephens

Inventor's Signature [Signature] Date 4/30/01  
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Full Name of Fourth/Joint Inventor: James Wang

Inventor's Signature [Signature] Date 4/25/2001  
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Full Name of Fifth/Joint Inventor: Kareem Benjamin

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Inventor's Signature [Signature] Date 4/25/2001  
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